

Effective 1 August 1997

## Logistics

### Administration of Reports of Survey

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FOR THE GOVERNOR:

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*Major General*  
*The Adjutant General*

OFFICIAL:



KENNETH C. KLEINE  
*COL, AV, CAARNG*  
*Director of Administration*

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**History.** This is the first printing of this pamphlet.

**Summary.** This pamphlet establishes procedures for the administration and processing of reports of survey by elements of the California Army National Guard.

**Applicability.** This pamphlet applies to all units within the California Army National Guard.

**Proponent and exception authority.**

The proponent and exception authority of this pamphlet is the Director of Logistics (CALG). Supplementation of this pamphlet and establishment of command and local forms are prohibited without prior written approval from the Director of Logistics.

**Interim changes.** Interim changes to this pamphlet are not official unless they are authenticated by CALG.

**Suggested improvements.** Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms), directly to the Office of the Adjutant General CA ARNG, ATTN: CALG-SS-R.

**Distribution.** Distribution for this publication is for Army - A

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Contents (Listed by Annex)

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- A. Preparation of DA Form 4697
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## Annex A (Preparation of DA Form 4697) to CAARNG SURVEY SOP

1. PURPOSE: The purpose of a DA Form 4697, Report of Survey, is to establish the circumstances surrounding the loss, damage, or destruction of government property. It serves as, or supports a voucher for, removing the property from accountable records. It also documents a charge of, or provides relief from, pecuniary and financial liability for and individual or entity. *NOTE: The report of survey is an adjustment document and is not used as a "punitive action". Disciplinary action for individuals found liable due to negligence or willful misconduct in a survey investigation should be prosecuted independently in accordance with (IAW) the UCMJ or chapter 12, para 12-1 of AR 735-5.*

### 2. INITIATION OF A REPORT OF SURVEY:

a. A report of survey will usually be initiated by a Property Hand Receipt Holder (PHRH) or the accountable PBO. If that person is not available, the person with the most knowledge of the incident will serve as the initiator.

b. By regulation, (AR 735-5, para. 13-7) an ARNG element has 45 days, after the discovery of a discrepancy, to initiate and present a report of survey to the approving authority. Subordinate commands may shorten the submission period to suit administrative needs.

c. A report of survey should not be initiated until an exhaustive search has been completed and all other methods of property adjustment have been accomplished. The PHRH should make an effort to resolve loss or damage using a Statement of Charges/Cash Collection Voucher, DD Form 362. Refer to paragraph 5d(6) of this annex for specific directions.

d. Reports of survey from non-divisional elements of the CAARNG shall be prepared in accordance with this SOP and AR 735-5 and submitted to the appropriate approving authority.

### 3. PREPARATION OF DA FORM 4697:

a. Preparation of DA Form 4697 is the first step in the report of survey process. Responsibility for the accurate and timely completion of this action usually resides with the the unit commander and his FTUS Supply NCO.

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

b. Complete, truthful and accurate information is essential to the survey process. The individuals preparing the survey have the responsibility to include all of the pertinent facts, identify all individuals possibly involved and explain all circumstances surrounding the loss or damage of government property. Failure to provide witness statements from all participants, upon initial submission to the approving authority, delays completion of the investigation.

4. COMPLETING DA FORM 4697:

a. **DATE PREPARED** (block 1) - enter the date that preparation of the survey and documents are actually completed.

b. **SURVEY NUMBER** (block 2) - leave this blank.

c. **TYPE PROPERTY** (block 3) - Enter the applicable term:

- (1) Organizational
- (2) Installation
- (3) TDA
- (4) Subsistence
- (5) Cash Meal Payment Sheet/Book
- (6) Ammunition

d. **ADDRESS OF ACCOUNTABLE OFFICER** (block 4) - Enter the mailing address of the appropriate accountable PBO or unit commander (PHRH).

e. **ORIGINATOR** (block 5) - Line out Accountable Officer or Primary Hand Receipt Holder as appropriate. Enter the commander's name, rank, "Commanding", unit name and UIC. A unit commander (PHRH) will line through " accountable officer" except in the following circumstances:

- (1) The survey is for a Cash Meal Payment Sheet/Book.
- (2) The survey is for Class I, Subsistence (except basic load).
- (3) The survey is for Class V, ammunition (except basic load).

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

f. **NATIONAL STOCK NUMBER** (block 6)

(1) Enter property being surveyed in Line Item Number (LIN) sequence using the following priorities:

- (a) Organizational
- (b) Organizational Clothing and Individual Equipment (OCIE)
- (c) Personal Clothing
- (d) Components of Set, Kits, Chests, and Outfits (SKO)

(2). Include item number, NSN, and LIN. Sample block 6 entries:

6.	<b>NATIONAL STOCK NUMBER</b>
1.	4210-00-900-8557 L27293
2.	5180-00-527-9429 W36648

(3) All component shortages of a major end item will be consolidated into a single entry (totaled) before entry onto the survey form. Example: A unit having three General Mechanics Tool Boxes must identify, list, and price each of the missing component items on a shortage annex, total the cost of all three shortage annexes, and make a single entry on the survey.

(4) Double space all entries.

(5) Ensure all surveyed property is on the unit hand receipt.

g. **ITEM DESCRIPTION** (Block 7) - Enter the complete description of the item being addressed.

(1) Include Serial Numbers (SN) and USA Numbers when applicable. Serial numbers of component items should be listed on a component listing or DA Form 3328-1 as an annex of the major end item when applicable.



Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

(2) Enter the proper Accounting Requirements Code (ARC). Refer to AR 735-5, paragraph 2-2d.

(3) If the item has a Reportable Item Control Code (RICC) 2, as identified in SB 700-20 and/or current FED LOG, and there is a "no residue" statement required: "RICC 2 No Residue" must be entered directly under the nomenclature.

(4) Identify the Technical Manual or Supply Catalog used to conduct the inventory and it's publication date.

(5) If the survey is for damage only, a residue statement is required. A residue statement is a description of the remaining serviceable components of an end item.

(6) Sample entry, block 7, for a single item on a property loss survey:

7.
ITEM DESCRIPTION
Radio Set PRC-77 RICC 2                      ARC: N NO RESIDUE SN: 45678 TM 11-5820-398-12 17Nov65

h. **QUANTITY** (block 8) - Enter the total quantity of the item being surveyed followed by the unit of issue (U/I).

i. **UNIT PRICE** (block 9) - Enter the total cost of a single unit of issue for the item from the current ARMY LOG. NOTE: Pursuant to AR 735-5, para 13-9 a (1) the unit price must be from the AMDF/Army Log listing current at the time of loss.

j. **TOTAL COST** (block 10) - Enter the total cost of all (total item count) of that particular item being surveyed. Immediately under the last entry, draw a line and under the line enter the total amount of the entire report of the survey. To the left of this total type the words "Grand Total" if the survey is for lost property. If the survey is for damage, enter the total of DA Form 461-5, Technical Inspection and type the phrase "Total Cost of Repair".

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

(1) Sample block 10 for a DA Form 4697 listing multiple property type losses:

**NOTE:** The Type Property Code for each item is listed in the margin of the form as required by para 4k(8)(c) of this Annex. This example shows the type property code typed in the margin next to the total cost of each item.

	10. TOTAL COST	
	75.00	7 <--- Type Property Code
	150.00	7 <--- Type Property Code
	<u>40.00</u>	6 <--- Type Property Code
GRAND TOTAL:	265.00	

(2) When insufficient space exists to list all entries, in blocks 6-10, a continuation sheet shall be prepared. Enter "See Continuation Sheet" at the bottom of block 7. Continuation pages shall be numbered consecutively. For a unit having four continuation pages, the first continuation page will be labeled "page 2 of 5 pages, and so on. An example is provided in Appendix 3 of this Annex.

**k. DATE AND CIRCUMSTANCES (block 11)**

(1). The first entry in block 11 is the "DATE OF LOSS:" Enter the date that all efforts to find and/or recover government property were exhausted and the possibility of any further recovery was abandoned.

(2) If the survey is for damage to government property enter the phrase "Damage Only" immediately after the date of loss. Example: **DATE OF LOSS: 1 April 1997 (DAMAGE ONLY).**

(3) Enter a clear and concise statement explaining the circumstances of loss, damage or destruction of the government property.

Annex A (Preparation of DA Form 4697) to CAARNG Survey SOP  
(cont).

(4) Do not make recommendations or draw conclusions.

(5) All individuals mentioned by name in block 11 must be identified by **NAME, SSN, RANK.**

(6) If the report of survey identifies one or more potentially liable individual(s), enter the following information for each person named: **ETS DATE, LAST KNOWN ADDRESS, TELEPHONE NUMBER, TOTAL YEARS OF SERVICE AND AMOUNT OF ONE MONTH'S BASE PAY AT THE TIME OF LOSS.** Provide this information for any and all individuals that the investigating officer could possibly hold liable, to include the commander (PHRH), subordinate officers, 1SG and members of the FTUS staff, if applicable. (NOTE: one month's base pay is factored using active duty base pay for one month. Do not use inactive duty pay or civilian technician pay to calculate this amount).

(7) Processing AWOL Losses

a. When adjusting for losses of equipment issued to an AWOL service member, the following statement shall be entered in block 11: "This report of survey has been initiated to clear property records for loss of items listed above. Items issued to RANK, NAME, SSN, who has absented him/herself without leave and has been declared an unsatisfactory participant whose whereabouts are unknown. Clothing records/sub-hand receipts to substantiate these items were issued to RANK & NAME and the results of the inventory are attached as Exhibits A through \_\_\_\_."

b. Remember that the policy of the Adjutant General prohibits personnel in the rank of E5 and below from keeping OCIE in their possession. Therefore, the survey must identify, for possible liability, the PHRH and any subordinate who permitted an exemption to the policy and authorized a junior service member to retain possession of his or her OCIE issue and provide the information required in paragraph 6 above.

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(cont).

(8) Additional entries required in block 11:

(a) **"REASON FOR LOSS CODE: \_\_"** (Appendix 1, page A-1-1 of this Annex).

(b) **"TYPE PROPERTY CODE: \_\_"** (Appendix 2, page A-2-1 of this Annex). Make this comment in block 11 when the survey lists one (1) type of property.

(c) If the survey identifies loss of multiple property types enter the one digit type property code in the right hand margin of the form next to the total cost of each item. Refer to paragraph 5j(1) & (2) of this annex for examples. Property Type Codes are listed in Appendix 2, page A-2-1 of this annex.

(d) To identify exhibits enter **"Exhibits \_\_ through \_\_ attached"** or **"Exhibit A attached"** as appropriate.

(e) If the survey is to adjust for property reported lost, damaged, or destroyed on a Incident Report (IR), enter **"INCIDENT REPORT NUMBER:"** and attach a copy of the IR to the survey as an exhibit. Each IR creates a suspense for follow up action at the Office of the Adjutant General (OTAG). The Logistics Branch (CALG) will initiate a tracer action, through channels, if adjustment or explanatory documentation is not received within 30 days of the initiation of the IR. Entering the IR number allows CALG to cross reference the incident report to the appropriate report of survey adjusting for the property loss.

(f) If the individual has refused to sign a Cash Collection Voucher (DD 362) for lost or damaged property make the following statement in block 11: **"INDIVIDUAL REFUSED TO SIGN A CASH COLLECTION VOUCHER PREPARED FOR THIS LOSS. THE UNSIGNED DD 362 IS ATTACHED AS EXHIBIT \_\_\_\_."** Refer to paragraph 6d(7) of this SOP.

(9) Use a continuation sheet for block 11 if necessary. Refer to the sample block 11 continuation sheet at Appendix 4 of this Annex.

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

(10) Sample block 11 statement for a damage only  
survey:

11. DATE AND CIRCUMSTANCES

This survey is initiated to account for damage to a GSA  
vehicle (G10-1776) operated by SFC Driver on 1 April  
1997. SFC Speedy Q. Driver, 555-22-2222, was cited by the  
CHP for excessive speed following this single vehicle  
accident resulting in damage to government property.

REASON FOR LOSS CODE: E      EXHIBITS A THROUGH Q ATTACHED

TYPE PROPERTY CODE: 9

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

(11) Sample block 11 statement for a single item  
property loss survey:

11. DATE AND CIRCUMSTANCES

This survey is initiated to adjust for property lost during a field training exercise conducted on 14 Dec 1996 at Ft. Irwin, CA. SPC Robert I. Lostit, 123-45-6789, lost his kevlar helmet during a night convoy operation. He states (Exhibit D) that he left the helmet on the running board of his truck after changing a flat tire in the dark. A complete search of the convoy route was conducted the following morning without results. PFC Justin Time, 234-56-7891, assistant driver, states that the helmet was overlooked in the rush to rejoin the convoy (Exhibit E). SPC Lostit was properly issued the item on a hand receipt (Exhibit C). REASON FOR LOSS CODE: F EXHIBITS A THROUGH F ATTACHED.

TYPE PROPERTY CODE: 3

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

(12) Sample block 11 statement for a multiple item  
OCIE loss:

11. DATE AND CIRCUMSTANCES

This report of survey has been initiated to clear property records for the loss of items listed above. Items issued to PFC Helen Hunt, 987-65-4321, who has absented herself without leave and has been declared an unsatisfactory participant whose whereabouts are unknown. Clothing records/sub-hand receipts to substantiate these items were issued to PFC Hunt are attached as Exhibits A through C. PFC Hunt was permitted to retain a full issue in her possession to attend an alternate annual training period by 1SG Goodie. A copy of the applicable annual training order is attached as Exhibit D. PFC Hunt failed to report for training or to return equipment upon demand (Exhibit E).

REASON FOR LOSS CODE: S      EXHIBITS A THROUGH \_ ATTACHED  
TYPE PROPERTY CODE: 3

1. **AFFIDAVIT** (block 12) - Two blocks. Type the name, rank and SSN of the individual making the statement, contained in block 11, in the block labeled **TYPED NAME, GRADE AND SSN**. The individual identified above signs and dates the block labeled **SIGNATURE AND DATE** located directly above.

m. **Subscribed and Sworn** (block 13) - leave blank.

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

n. DATE (block 14) - The accountable PBO enters the date that he/she signed block 15.

o. SIGNATURE (block 15) - Type the name and rank of the accountable officer for the property being surveyed. After review, the accountable officer will sign and forward the survey to the approving authority.

p. DOCUMENT NUMBER (block 16) - Enter the unit DODAAC. Following the DODAAC take one of the following actions:

(1) For expendable/durable property enter a number from the unit's Expendable/Durable Document Register.

(2) For non-expendable property, leave this space blank. The PBO maintains document numbers for non-expendable property

5. EXHIBITS

a. Prepare an original and three copies of all exhibits.

b. All copies shall have the statement "CERTIFIED TRUE COPY" typed on them and be authenticated by the signature of an officer or warrant officer (W2 or above) in **blue ink**. Original signatures are required on each copy. Photo copies of signatures are not acceptable.

c. It is the responsibility of the PHRH to insure that all available data is attached to the report of survey as exhibits. Proper and complete preparation will reduce the work load and processing time of the survey officer.

d. LISTING OF EXHIBITS:

(1) DA Form 461-5 - Limited Technical Inspection when the survey is for damage only (**MANDATORY FOR DAMAGE SURVEYS**).

(2) Commander's Explanatory Statement of Delinquency - In memorandum format, provide a statement of delinquency if the submission of the completed survey exceeds the 45 day suspense of AR 735-5 (**MANDATORY FOR DELINQUENT SUBMISSION BY PHRH**).



Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

(3) Summary of Loss. If a survey includes the loss of multiple types of property, provide an exhibit listing the total loss for each type of property. An example is provided in Appendix 5 of this Annex **(MANDATORY FOR SURVEYS LISTING MULTIPLE PROPERTY TYPE LOSSES)**.

(4) DA Form 4886 (Individual Clothing). When applicable.

(5) DA Form 3645 (OCIE). When applicable

(6) DD Form 362 (Statement of Charges/Cash Collection Voucher). Attach as an exhibit as required in para 2c of this Annex. Note: This requirement does not apply to AWOL or discharged soldiers). If an individual refuses to accept liability by signing a cash collection voucher the commander/Supply NCO must take the following actions:

(a) Attach the unsigned DD Form 362 as an exhibit to the survey.

(b) Make a remark in block 11 of DA Form 4697, that the individual(s) involved has refused to sign and has requested relief through the report of survey process.

(7) Statements of Exception to Policy. Property loss incurred as a result of an exception to command policy must be explained in memorandum format. The PHRH must explain the exemption to include the identification of, and statements from, subordinates involved in the decision. For example if a platoon NCO permits a junior enlisted soldier (E5 or below) to keep his full issue of OCIE at his home, this action is an exception to published OTAG policy which requires secured unit storage of OCIE for SM in the grade of E5 and below. If the soldier loses part of the issue or goes AWOL with the property, a statement from the PHRH and platoon NCO must be attached to the survey as exhibits **(MANDATORY FOR OICE SURVEYS INVOLVING INDIVIDUALS IN THE RANK OF E5 AND BELOW)**.

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

(8) AWOL Abatement Statement. Attach as an exhibit a copy of the 1SG's AWOL abatement memorandum required for processing AWOL soldiers (**MANDATORY FOR AWOL SURVEYS**).

(9) CAL ARNG Form 190-40 (Incident Report) (**MANDATORY WHEN AN INCIDENT REPORT HAS BEEN INITIATED**).

(10) DD Form 2823 (Sworn Statement) Attach, as an exhibit, a statement from each individual involved in, witnessing, or having information about the incident.

(11) DA Form 3078 (Personal Clothing Record). If applicable.

(12) DA Form 4949 (Administrative Adjustment Report). If applicable.

(13) DA Form 3161 (Request for Issue or Turn-in). Attach as an exhibit when necessary to support a found on installation, recovery, change, or lateral transfer claim.

(14) DA Form 2765-1 (Request for Turn-in/ Issue). If applicable.

(15) DA Form 2062 (Hand Receipt/Annex). Attach as an exhibit if used as a Sub-Hand Receipt, Shortage Annex or Overage Annex.

(16) DA Form 3749 (Equipment Receipt). If applicable.

(17) DD Form 1348-1 (Issue/Receipt Document). If applicable.

(19) DA Form 1574 (15-6 Investigation). If applicable.

(20) Standard Form 91 (Operator's Report of Motor Vehicle Accident). Attach as an exhibit to surveys adjusting motor vehicle accidents.

(21) DA Form 285 (US Army Accident Investigation Report). Copies of civilian and military police accident reports must be attached as exhibits to surveys adjusting for accident damage (**MANDATORY FOR VEHICLE ACCIDENTS**).

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

(22) Civilian Police Report/Military Police Reports.  
(MANDATORY FOR THEFTS AND BURGLARIES).

(23) DA Form 2401 (Organizational Control Record  
for Equipment). If adjusting for Non Fair Wear and Tear  
(NFWT) damage.

(24) DA Form 2404 (Equipment Inspection and  
Maintenance). If adjusting for NFWT damage.

(25) DD Form 1970 (Motor Vehicle Utilization Record).  
If adjusting for accident damage.

(26) DD Form 348 (Equipment Qualification Record).  
If adjusting for NFWT damage.

(27) DD Form 5504 (Maintenance Request). If adjusting  
for NFWT damage or loss during maintenance.

(28) Cyclic Inventories. If necessary to demonstrate  
accountability or previous adjustments and discrepancies.

(29) Sensitive Item Inventories. If necessary to  
demonstrate accountability or previous adjustments and  
discrepancies.

(30) Depot Shipping Listing (AXX/AYY Listing). If  
necessary to document erroneous posting or lost shipments.

(31) ALV 151 (Unit SPBS-R Hand Receipt). If necessary  
to document supply actions or accountability.

(32) UTL (Unit Transaction Listing). If required  
to demonstrate a change in property levels.

(33) Memorandum to USPFO or PBO requesting causative  
research for missing documents or shipments.

(34) Memorandum to OTAG (CALG) requesting  
publication of missing government property data in a  
Logistics Bulletin.

(35) Standard Form 364 (Report of Discrepancy). In  
support AXX discrepancies.

(36) OCIE "Sign Out Log". If applicable.

Annex A (Preparation of DA Form 4697) to CAARNG Survey  
SOP (cont.)

6. NUMBER OF COPIES: Prepare an original and four copies of each report of survey with all exhibits.

a. The unit will retain one copy, with all exhibits, in the suspense file until all property actions have been processed on the unit's ALH-142 (property) listing.

b. The unit will forward the original and three copies to the approving authority.

Appendixes:

- 1 Reason for Loss Codes
- 2 Type Property Codes
- 3 Sample Continuation Sheet for Blocks 6-10
- 4 Sample Continuation Sheet for Block 11
- 5 Sample Summary of Loss by Property Type
- 6 DA Form 4697

Appendix 1 (Reason for Loss Codes) to Annex A (Preparation of DA Form 4697) to CAARNG Survey SOP

**REASON FOR LOSS CODE**

REASON FOR LOSS CODE: One of the following codes will be typed in the lower left hand corner of block 11 on Report of Survey (DA Form 4697).

<u>REASON FOR LOSS</u>	<u>CODE</u>
Change of Command	A
Shelf Life Expired	B
Airdrop	C
Aircraft Crash	D
Vehicle Accident	E
Annual Training or Field Exercise	F
Inventory (other than change of command)	G
Natural Disaster	H
Fire	J
Administrative/Account Error	K
Theft/Armory	L
Theft/other	M
Pecuniary Liability Admitted	N
Shipping Adjustment	P
State Active Duty	R
Other (includes individuals discharged prior to property recovery)	S

Appendix 2 (Type Property Codes) to Annex A (Preparation of  
DA Form 4697) to CAARNG Survey SOP

**TYPE PROPERTY CODE**

TYPE OF PROPERTY CODE: One of the following codes will be entered in block 11 (single item survey) or in the right margin next to block 10 (multiple item survey) on Report of Survey (DA Form 4697)

<u>TYPE PROPERTY CODE</u>	<u>CODE</u>
CTA (Except 50-900)	1
Petroleum, Oil & Lubricants (POL)	2
Organizational Clothing & Individual Equipment (OCIE)	3
Individual Clothing	4
Weapons & Ammunition	5
Hand tools (FSC 5110, 5120, 5133, 5136)	6
Components (Except FSCs noted above)	7
MTOE (Except Weapons)	8
Other (AR 840-10, Technical Manuals, Etc.)	9

Appendix 3 (Sample Continuation Sheet for blocks 6-10) to  
Annex A (Preparation of DA Form 4697) to CAARNG Survey SOP

ITEM NO	NSN & LIN	ITEM DESCRIPTION	ARC CODE	QTY U/I	UNIT PRICE	TOTAL PRICE
11.	6650-00-530-0974 B67766/B67081	BINOCULAR 7x50 Mil. Ret, M17A1, SN: 2579 TM 9-1240-381-10	N	1 ea	350.00	350.00 7
12	5820-00-930-3724 Q38299	RADIO SET AN/PRC-77 RICC 2, NO RESIDUE SN: 46565 32769 TM 11-5820-398-12	N	2 ea	1268.00	2436.00 7
13.	5180-00-293-2875 W36648	TOOL KIT, CARPENTERS SC 5180-91-CL-R07		5Nov84		

COMPONENT LOSS:

5120-00-264-3796	WRENCH, ADJ 0 to 1.3	D	2 ea	7.96	15.92	6
5120-00-527-9429	TAPE MEASURING	D	1 ea	11.75	11.75	6
14. 5180-00-672-2611 W33004	TOOL KIT GEN MECH LT WT SC 5180-90-N26		30Oct86			

COMPONENT LOSS:

5110-00-241-9148	FILE, HAND	X	1 ea	1.80	1.80	6
5120-00-240-5328 T46752	WRENCH, TORQUE O-50 LB FT SN: 7890987	N	1 ea	75.00	75.00	6

TOTAL THIS PAGE \$2890.47  
GRAND TOTAL \$21,690.98

UIC/DODACC/DOCUMENT NUMBER

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Appendix 4 (Sample Continuation Sheet - Block 11) to Annex A  
(Preparation of DA Form 4697) to CAARNG Survey SOP

BLOCK 11 CONTINUED, REPORT OF SURVEY, \_\_\_\_\_, \_\_\_\_\_,  
(date) (unit)

\_\_\_\_\_.  
(UIC)

<u>Address &amp; Telephone</u>	<u>Grade</u>	<u>SSN</u>	<u>ETS</u>	<u>Total Years of Service</u>	<u>One (1) Months Base Pay</u>
Duck, Donald 1234 Down St. Upland, CA 90821-1234 (916)xxx-1111	CPT	123-45-0987	900711	12	\$3,154.00
Ranger, Howdy New Tree Ct. Foley, CA 91234-1111 (805)xxx-2222	E8	555-56-5432	990112	26	\$3,120.00
Smith, John Standish Way Plymouth, CA 91234-1111 (209)xxx-3333	E6	551-21-2309	010102	6	\$1,471.80

\_\_\_\_\_/\_\_\_\_\_  
(UIC) (DOCUMENT NUMBER)

PAGE \_\_\_\_ OF \_\_\_\_ PAGES



Appendix 5 (Sample Summary of Loss by Property Type) to Annex  
A (Preparation of DA Form 4697) to CAARNG Survey SOP

When a survey lists property losses covering multiple  
type of property, it is necessary to capture this  
information for statistical analysis. Use the following  
format to meet this requirement:

Exhibit \_\_\_\_ to Report of Survey No. 7xxxxx

Summary of Losses by Property Type

Code 1	CTA (Except 50-900)	\$ _____
Code 2	Petroleum, Oil & Lubricants (POL)	\$ _____
Code 3	Individual Equipment	\$ _____
Code 4	Individual Clothing	\$ _____
Code 5	Weapons & Ammunition	\$ _____
Code 6	Hand Tools (FSC 5110, 5120, 5133, 5136)	\$ _____
Code 7	Components (Except FSC listed above)	\$ _____
Code 8	MTOE (Except Wpns)	\$ _____
Code 9	Other	\$ _____
GRAND TOTAL LOSS:		\$ _____

<b>DEPARTMENT OF THE ARMY</b> <b>REPORT OF SURVEY</b> For use of this form, see AR 735-11; the proponent agency is DCSLOG		1. DATE PREPARED	2. SURVEY NUMBER	
3. TYPE OF PROPERTY		4. ADDRESS OF ACCOUNTABLE OFFICER		
5. ORIGINATOR (Accountable officer, or primary hand receipt holder)				
6. NATIONAL STOCK NUMBER	7. ITEM DESCRIPTION	8. QTY	9. UNIT PRICE	10. TOTAL COST
11. DATE AND CIRCUMSTANCES				
12. <b>AFFIDAVIT</b>  I do solemnly swear (or affirm) that (to the best of my knowledge and belief) the articles of public property shown above and/or on attached sheets were lost, destroyed, damaged, or worn out in the manner stated, while in the public service.		13. <b>SUBSCRIBED AND SWORN TO (OR AFFIRMED)</b> before me at this       day of TYPED NAME, GRADE, AND SSN NAME AND GRADE (type and sign)		
14. DATE	15. NAME, GRADE, AND SIGNATURE OF ACCOUNTABLE OFFICER		16. DOCUMENT NUMBER	
17. <b>APPOINTING AUTHORITY</b>  I have received the evidence pertaining to the lost, damaged, or destroyed property, and have determined that the following action is required. a. <input type="checkbox"/> No further investigation is required. There is no positive evidence of negligence. I do not suspect willful misconduct or deliberate unauthorized use. I hereby forward this document to the approving authority for final action. (Proceed to block 37.) b. <input type="checkbox"/> The circumstances surrounding the lost, damaged or destruction warrants further investigation. (Proceed to block 21.) c. <input type="checkbox"/> Conduct an investigation according to AR 15-6. Attach this document, as an exhibit, to the investigation and forward it to the approving authority.				
18. DATE	19. TYPED NAME, GRADE, AND TITLE OF APPOINTING AUTHORITY		20. SIGNATURE	

DA FORM 4697  
SEP 81DA FORM 4696(TEST), 1 JUL 78 and DA FORM 4697(TEST),  
1 JUL 78 ARE OBSOLETE.

Appendix 6 (DA Form 4697) to Annex A (Preparation of DA Form 4697) to CAARNG SOP

21. APPOINTING AUTHORITY		22. STATION		23. DATE	
24. NAME, GRADE OF SURVEYING OFFICER					
25. YOU ARE APPOINTED SURVEYING OFFICER BY ORDER OF: _____ (Typed name, grade of Appointing Authority)					
26. FINDINGS AND RECOMMENDATION					
<p>I have examined all available evidence as shown in exhibits _____ to _____ and as indicated below have personally investigated the same and it is my belief that the article(s) listed hereon and/or attached to sheets, total cost \$ _____</p>					
27. RECOMMEND PECUNIARY CHARGE		a. ACTUAL LOSS	b. AMOUNT CHARGED	c. LOSS TO GOVERNMENT	
28. DATE	29a. TYPED NAME, GRADE OF SURVEYING OFFICER		b. SIGNATURE		
30. I have examined the findings and recommendations of the Surveying Officer on this report of survey and the exhibits _____ to _____ and <input type="checkbox"/> desire to make a statement which is attached hereto; <input type="checkbox"/> do not desire to make a statement. I am aware of my right to legal advice in preparing the statement and, if a pecuniary charge is finally approved, to make appeal and (If an <i>en-listed man</i> ) my right to request remission of indebtedness. I am/am not the accountable officer for the lost or damaged property. The property was/was not my personal arms or equipment.					
31. DATE	32a. TYPED NAME, GRADE OF INDIVIDUAL BEING CHARGED		b. SIGNATURE		
33. RECOMMENDATION BY THE APPOINTING AUTHORITY		34. COMMENTS			
<input type="checkbox"/> CONCUR  <input type="checkbox"/> NONCONCUR					
35. DATE	36a. TYPED NAME, GRADE & TITLE OF APPOINTING AUTH		b. SIGNATURE		
37. APPROVING AUTHORITY  a. <input type="checkbox"/> REJECTED. Investigation is required. Appoint a survey officer. Date _____ Initials _____ b. <input type="checkbox"/> REJECTED. Investigation incomplete. Additional information required. Date _____ Initials _____ c. <input type="checkbox"/> APPROVED BY AUTHORITY OF THE SECRETARY OF THE ARMY.				38. PECUNIARY CHARGE	
				a. ACTUAL LOSS	
				b. AMOUNT CHARGED	
				c. LOSS TO GOVERNMENT	
39. DATE	40a. TYPED NAME, GRADE & TITLE OF APPROVING AUTH		b. SIGNATURE		

Annex B (Duties of the Approving Authority) to CAARNG  
Survey SOP

1. NGB has combined the duties of the approving and approving authority into one level for ARNG units. This action eliminates the requirement for completion of blocks 30 through 36 of DA Form 4697 for all CAARNG units.

2. The approving authorities for elements of the CAARNG are identified as follows:

- a. STARC (-) - DOL, CALG
- b. Det 3 STARC - Cdr, Det 3 STARC
- c. Det 5 STARC - Cdr, MILPO
- d. CAPO - Director, CAPO
- e. MILPO - Director, MILPO
- f. 40 ID (M) - CofS 40 ID (M)
- g. 100th Troop Command - Cdr, 100th Troop Cmd
- h. 223 In Reg - Cdr, 223 In Reg
- i. Camp Roberts ISU - Cdr, Camp Roberts ISU
- j. USPFO-CA, USPFO-CA
- k. Stockton AASF - Director of Avn
- l. Sacramento AASF - Director of Avn
- m. CA AVCRAD - Cdr, CA AVCRAD
- n. Surface Maintenance - Director, SMO

Annex B (Duties of the Approving Authority) to CAARNG  
Survey SOP (cont.)

3. The approving authority is responsible for quality control in the report of survey process. The individual delegated the duties of survey control officer/NCO must insure that all requirements have been met in the preparation, investigation, and processing of the survey. Specific duties and responsibilities are defined in Appendix 4 of this Annex.

4. SURVEY CONTROL NUMBERS:

a. A survey control number is assigned to each report of survey for administrative control. This number shall be placed on all documents and exhibits attached to the survey which originate after the control number is assigned.

b. The authority to assign survey control numbers for actions within the 40th ID (M) is delegated to the 40th ID Central Property Book Office. Divisional elements (assigned and attached) will submit surveys to and obtain survey control numbers from the CPBO.

c. Non-divisional units are assigned OTAG survey control numbers by CALG-SS-R. To obtain a control number, non-divisional approving authority must complete the following actions:

(1) After reviewing the survey for correctness and completion, fax the DA Form 4697 and all continuation sheets for blocks 6-11 to CALG. CALG fax number: CAGNET 63735, (916) 854-3735.

(2) After review, CALG will fax or phone the control number to the approving authority for posting to block 2 of the survey.

5. The approving authority selects the method used to resolve the survey. Block 17 on DA Form 4697 provides the approving authority with three choices. A fourth choice the, "short survey, is explained in para 13-22 of AR 735-5:

a. No further investigation is required. In this instance, the approving authority checks block 17a, skips to the reverse side of the form, completes blocks 37-40, then submits the survey for SJA review.

Annex B (Duties of the Approving Authority) to CAARNG  
Survey SOP (cont.)

b. **Warrants further investigation:** If the approving authority determines that the survey requires further investigation, he or she must appoint a survey officer to investigate the circumstances of the loss. In this case, he/she should check block 17b and complete blocks 18-20. When the investigating officer returns the completed survey, the approving authority completes a review, completes blocks 37-40, and forwards the survey for SJA review.

c. **Conduct a 15-6 Investigation:** Under this option, the provisions of AR 15-6 are implemented and a formal investigation is conducted. If the results of the formal investigation make a determination concerning liability on an issue covered by a report of survey, it can be used in stead an investigation. In this case, a complete copy of the AR 15-6 investigation is attached to the survey, as an exhibit, and is used as a basis for the approving authority's liability determination.

d. **Short Survey:** This option is available for use when a survey contains enough information for the approving authority to reach a liability determination without further investigation. It is most commonly used in connection with a survey for property lost due to AWOL or equipment retained by discharged service members. However, it may be used to resolve any survey that is clear cut and requires no further investigation. Specific guidance is provided in para 13-22 of AR 735-5.

6. **Appointment of an Surveying Officer:**

a. An surveying officer must be notified in writing. A memorandum must be delivered by certified mail, or receipted for on DA Form 200, or a similar method. Retain the post marked, certified mail receipts or signed DA 200 as proof of service and attach them as part of the appointment memorandum exhibit to the survey. Refer to sample provided in Appendix 1.

b. In addition to the memorandum of appointment, the investigating officer will be provided with the following items by the approving authority:

Annex B (Duties of the Approving Authority) to CAARNG  
Survey SOP (cont.)

- (1) Original DA Form 4697, with blocks 1 through 25 completed, and all exhibits.
- (2) Chapter 13, AR 735-5
- (3) Annex C of AR 735-5
- (4) Annex C of this SOP.
- (5) FM 10-14-3, Survey Officer's Guide.
- (6) Blank copies of DA Form 2823, Sworn Statement.
- (7) Postage stamps/meter and envelopes for official mail.
- (8) Access to a telephone for official calls.
- (9) Access to a copy machine.

c. Under the provisions of AR 735-5, an ARNG investigating officer is allowed 60 days to complete an investigation. The approving authority may shorten or extend the suspense as the situation requires. The maximum time available for completion of a survey investigation is 120 days. Extensions beyond the 60 day ARNG suspense must be requested in writing by the investigating officer. Any request for extension shall be attached to the survey as an exhibit.

7. Upon receipt of a survey completed by an investigating officer, the approving authority's representative must review the document for accuracy and completeness, insure that all exhibits are present, correctly completed, labeled, and are attached in order. Refer to Figure 13-18 (Checklist for Reports of Survey) AR 735-5. Math calculations for liability must be checked for depreciation or joint and several liability to insure they conform to Table 12-4, AR 735-5.

8. If the investigating officer exceeds the original or extended suspense for completion, a memorandum of explanation must be attached as an exhibit to the survey.

9. In situations where no liability is recommended, the approving authority will complete blocks 37 through 39 of DA Form 4697 and forward it to CALG-SS-R.

Annex B (Duties of the Approving Authority) to CAARNG  
Survey SOP (cont.)

10. If liability is recommended, the approving authority must confirm transmittal of the memorandum of potential liability by the survey officer. The approving authority must transmit the required memorandum of liability, Appendix 2, Annex B of this SOP, to the individual found liable via certified mail. A copy of this memorandum and all mail receipts become an exhibit to the survey. After expiration of the suspense period established by the memorandum of liability, the survey will be forwarded to Staff Judge Advocate for review with the individual's response attached as an exhibit. If the liable individual does not respond to the memorandum, the survey is forwarded to the SJA without a response.

11. If the approving authority disagrees with the investigating officers findings and recommendations the survey may be returned to the survey officer for further investigation. The approving authority may give the survey officer a list of specific questions to be answered as a method of focusing the investigation. The approving authority may disagree with the survey officer and override his or her findings and recommendations by making a complete findings and recommendations statement in block 37.

12. If the survey officer or losing unit forwards a property recovery document after the completion of the investigation, the approving authority must subtract the value of the recovered property from the survey total before the final determination of liability can be made. Attach a copy of the recovery certificate as an exhibit to the survey and explain the recovery in block 37. If the recovery is received after the survey has been closed and forwarded to CALG for final action, insure that it is clearly identified and forward it to CALG-SS-R for posting.

13. Upon receipt of written approval by the SJA, the approving authority will forward the original and two copies to CALG-RS for final processing, attaching the SJA approval memorandum as the final exhibit.



Annex B (Duties of the Approving Authority) to CAARNG  
Survey SOP (cont.)

14. A survey initiated for damage to property requires a certificate of release to allow repair or disposal. The signature of an O6 or above is required to authorize release of property damaged by accident or NFWT. Property damaged by Fair Wear and Tear (FWT) may be released for repair or disposal on the signature of the PHRH.

15. Distribution. After completion of the survey, to include the SJA review, the approving authority will forward the original and one copy, with all exhibits, to CALG and one copy with exhibits to USPFO.

Appendixes

- 1 Appointment Memorandum
- 2 Memorandum of Financial Liability
- 3 Certificate of Release
- 4 Duties of the Survey Control Officer/NCO

Appendix 1 (Appointment Memorandum) to Annex B (Duties of the Approving Authority) to CAARNG Survey SOP

S:see Note 1

CALG-SS-R (735-5r)

1 February 1997

MEMORANDUM FOR LTC Hey Y. Me, 12345 Next St., Rancho Cordovan, CA 95670

SUBJECT: Appointment of Survey Investigating Officer

1. Reference

- a. AR 735-5 (Supply Update Number 14) Chapter 13
- b. AR 15-6 (Procedure For Investigating Officers)
- c. FM-10-14-3 (Survey Officer's Guide)

2. You have been appointed as the Investigating Officer for Report of Survey Number 70999X.

3. You will completely investigate the circumstances surrounding the loss, damaged or destroyed government property listed on the enclosed report of survey, and submit your findings and recommendations. Forward the original and two copies of the completed survey, with exhibits, to this headquarters, ATTN: \_\_\_\_\_, not later than the suspense date indicated above.

4. If you are unable to complete your investigation by the suspense date indicated, you MUST REQUEST AN EXTENSION IN WRITING PRIOR TO THE SUSPENSE DATE. Include in your request the justification for the delay. In addition, specify the date you will submit the completed survey. This headquarters will not approve extensions for survey investigations that exceed 120 days.

Note: Select a suspense date no more than 60 days after the date of the memorandum.

Appendix 1 (Appointment Memorandum) to Annex B (Duties of the Approving Authority) to CAARNG Survey SOP (cont.)

CALG-SS-R (735-5)

SUBJECT: Appointment of Surveying Investigating Officer

5. Until you complete this investigation, it is your primary duty. All other duties shall be put aside and you are to devote your full attention to the completion of this report of survey.

6. The point of contact for this office is MAJ \_\_\_\_\_ at (xxx) xxx-xxxx.

FOR THE COMMANDER:

Encl  
R/S 70632A  
Exhibits  
Annex C, CA Survey SOP

A.E. NEWSMAN  
COL, IN, CAIRN  
Commanding

Appendix 2 (Memorandum of Financial Liability) to Annex B  
(Duties of the Approving Authority) to CAARNG Survey SOP

LETTERHEAD

S: see Note 1

CALG-SS-R (735-5)

13 January 1997

MEMORANDUM FOR SSG Harming Sample, 1234 Any St., Somewhere,  
CA 00000-0000

SUBJECT: Financial Liability, Report of Survey No. 79999X

1. In accordance with UPDATE 14, AR 735-5, dated 28 Feb 94, Chapter 13, you are hereby notified that you have been held pecuniarily liable to the United States Government in the amount of \$999.99 for Report of Survey 79999X.

2. Your attention is invited to AR 735-5, Chapter 13, which lists your rights relative to this matter. You have the right to:

a. Inspect and copy Army records relating to the subject report of survey.

b. Obtain legal advise.

c. Request reconsideration of the assessment of financial liability. A request for reconsideration can be submitted only on the basis of a legal error.

d. Request remission or cancellation of the indebtedness under the provisions of AR 600-4 (enlisted personnel only). Applications for remission or cancellation are considered based upon extreme hardship only.

3. Should you fail to exercise one of the rights within the appropriate time frame, your last avenue of redress is to make an application to the Army Board for Correcting Military Records (ABC). Application to the ABC does not stop collection actions.

4. If you do not intend to request reconsideration or apply for remission of indebtedness, request you forward a cashier's check or money order, made payable to "FINANCE AND ACCOUNTING OFFICER, U.S. ARMY, FORT BENJAMIN HARRISON, IN 46216-5590" to this headquarters, ATTN: \_\_\_\_\_.

Appendix 2 (Memorandum of Financial Liability) to Annex B  
(Duties of the Approving Authority) to CAARNG Survey  
SOP (cont.)

CALG-SS-R (735-5r)

SUBJECT: Financial Liability, Report of Survey No. 79999X

5. Failure to comply with these instructions will result in military pay interruption or execution of a lien against you by the Internal Revenue Service (IRS).

6. Point of contact at this headquarters is my designated representative, \_\_\_\_\_, (xxx) xxx-xxxx.

FOR THE COMMANDER:

Encl  
RSV 7999X  
Exhibits A-F

A. E. NEWMAN  
COL, IN, CAARNG  
Commanding

NOTE: Unlike the notice of potential liability, which is initiated by the survey officer, the final Liability Memorandum may only be initiated by the approving authority.

Appendix 3 (Certificate of Release) to Annex B (Duties of  
the Approving Authority) to CAARNG Survey SOP

CERTIFICATE OF RELEASE

DATE: 27 FEBRUARY 1997

I/R 95-0060\U/I 50044A

I certify that the following identified equipment is no longer needed for investigative purposes, and is hereby released for repair or appropriate disposition.

ITEM NOMENCLATURE	REGISTRATION SERIAL NUMBER	OWNING ORGANIZATION
Truck, Trac 5 T M52A2	NLOU4X	A CO., 111th Spt.
Strlf, Fuel, 5000 gal M131A5C	7H1263	A Co., 111th Spt.

FINNIAS T. BLUSTER  
COL, IN CAARNG  
Commanding

DISTRIBUTION:

2 Surveying Officers File  
2 Supporting OMS  
2 Supporting Maintenance Shop  
1 State Maintenance Activity  
1 Owning Organization

Appendix 4 (Duties of the Survey Control Officer/NCO) to  
Annex B (Duties of the Approving Authority) to CAARNG Survey  
SOP

1. Insure the accuracy of survey preparation, to include:

a Correcting all errors and omissions made by the  
originator prior to submission to the survey officer.

b Guiding and advising the surveying officer during the  
composition phase of his or her findings and recommendations  
statement.

c Confirm the accuracy of joint liability calculations.

d Confirm that all exhibits, to include liability  
memorandums, mail receipts and service member responses, are  
properly labeled.

2. Obtain an OTAG survey control number from CALG-SS-R.  
(Applicable to non-divisional units only)

3. Maintain a suspense system for tracking the status of  
reports of survey within the command.

4. Maintain a roster of potential investigating officers.

5. Maintain a file containing copies of completed surveys.

6. Provide the surveying officer with the administrative  
supplies and support defined in Annex B.

7. Prepare, forward, and file any Certificates of Release  
that are required to clear damaged property.

8. Request and document Staff Judge Advocate review.

9. Insure that the completed report of survey conforms to  
the requirements of this SOP before submission to the  
Approving Authority for signature.

10. Forwarding the completed survey to CALG-SS-R  
within the 145 day suspense window.

11. Completing corrective actions required by CALG-SS-R.

Annex C (Duties of the Surveying Officer) to CAARNG Survey SOP

1. It is a **requirement** that a survey officer become familiar with Chapter 13 and Appendix C of AR 735-5, FM 10-14-3, and Annex C, CAARNG Survey SOP.
2. It is the duty of the survey officer to "seek out all of the facts surrounding the loss of or damage to Government property...trying to place responsibility where it belongs." These duties include detailed investigation, evaluation of facts, documentation of evidence, and rendering a decision.
3. AR 735-5, para 13-29 stipulates that an ARNG surveying officer has 60 calendar days to complete the required investigation. Conduct of the survey becomes the appointed officer's primary duty and delays must be explained in writing by the survey officer and attached as an exhibit to the survey. You may request, in writing, an extension of up to sixty (60) days from the approving authority. Request for extension of suspense and the approval authority's reply must be attached to the survey as exhibits.
4. Delinquent submission of a survey by an investigating officer requires that a memorandum of explanation be attached to the survey as an exhibit.
5. During the investigation, a surveying officer examines evidence, and conducts interviews. Then, following the directions in AR 735-5, para 13-31, g(1) and (2), the officer labels each statement and piece of evidence, attaching it to the survey as an exhibit. The survey officer should place the OTAG survey control number on all documents which he/she originates for, or adds to, the report of survey.
6. Upon completion of the investigation, the surveying officer completes blocks 26 through 29 on DA Form 4697. If the statement in block 26, Findings and Recommendations, is too large to fit in the area provided, a continuation sheet is to be used.
7. At the conclusion of the investigation phase in a "Damage Only" survey, the surveying officer must release the equipment for repair or disposal. Damaged equipment is released by submitting a "Certificate of Release" to the maintenance facility which completed the Limited Technical Inspection (LTI) of the equipment. The certificate of release must be signed by the approving authority. A sample is provided in Appendix 2 of this Annex.



Annex C (Duties of the Surveying Officer) to CAARNG  
Survey SOP (cont.)

7. If the unit recovers property listed on the survey before or during your investigation, it must be listed on DA Form 3161 (Recovery Certificate) and be submitted to the appropriate PBO for assignment of a document number. Attach a copy of the recovery certificate to the survey as an exhibit. **DO NOT CROSS OUT THE RECOVERED ITEMS ON THE DA FORM 4697.** Explain the recovery in block 26. The value of the recovered property must be subtracted from the survey total before your recommendations can be made.

8. The approving authority shall provide the surveying officer a "working copy" of the survey and all exhibits. Do not accept the original copy of the survey or any exhibits if offered by the Survey Control Officer (SCO). At the conclusion of your investigation, return the annotated "work copy", findings and recommendations statement, and any new original exhibits to the SCO. After administrative processing, review the original document for accuracy and sign block 28b.

9. The findings statement in block 26 should be an accurate description, in your own words, of the facts explaining how the loss occurred on the basis of the evidence found during your investigation. Refer to the exhibits to support your findings. Make the statement complete so that no further explanation is required.

10. If liability is not recommended, forward the completed survey to the approving authority.

11. If liability is recommended, the Findings and Recommendation section, block 26, should state the following:

a. The full name, rank, and social security number of the person or persons against whom charges are recommended.

b. Depreciation may be deducted in accordance with Annex B, AR 735-5. Reflect the statement "Depreciation applied IAW AR 735-5".

Annex C (Duties of the Surveying Officer) to CAARNG Survey  
SOP (cont.)

c. Sample block 26 recommendation entry:

26. FINDINGS AND RECOMMENDATIONS

Findings: (Omitted from this example)

Recommendations: To hold PVT Howdie Looseit, 555-55-5555, pecuniarily liable in the amount of \$812.84 (Depreciation IAW Appendix B, AR 735-5) for loss of government property. Accountability has been discontinued. PVT Howdie Looseit, 555-55-5555, monthly base pay at the time of loss was \$878.80.

c. Calculation of financial liability:

(1) Table 12-3, AR 735-5 stipulates the method of computing liability for a single respondent.

(2) Table 12-4, AR 735-5 stipulates the method for computing joint liability.

12. The individual(s) against whom a recommendation of liability is made must be notified by memorandum, Appendix 1, Annex C, of this SOP. The memorandum and two copies of the DA Form 4697 with one copy of all exhibits attached will be mailed, via certified mail, to the individual(s) recommended for liability. The individual concerned should complete blocks 30 through 32 and return one (1) copy of the DA Form 4697 to the surveying officer. Allow 15 days for the individual to submit a rebuttal to your recommendation. Retain certified mail receipts as proof of service and attach them to a copy of the memorandum. These become exhibits to the survey.

13. If the individual(s) concerned replies with a statement, prior to or on the suspense date, that provides information changing the outcome of the investigation, the recommendations statement must be amended by the investigating officer. In this situation, make the following entry in block 26: "After review of the rebuttal statement from the individual, I have changed my original recommendation to relieve NAME, RANK, SSN, from responsibility and accountability". The notification process must be repeated and blocks 27a, b, and c must be changed to reflect the new recommendations.

Annex C (Duties of the Surveying Officer) to CAARNG Survey  
SOP (cont.)

14. If the individual(s) concerned replies with a statement, prior to the suspense date, which does not change the outcome of the investigation, attach it as an exhibit and forwarded the completed survey to the approving authority for further action.

15. If the individual(s) concerned replies after the survey has been forwarded to the approving authority for disposition, identify the document clearly and forward it to the approval authority for consideration for enclosure as an exhibit to the survey.

16. If no reply is received from the individual(s) concerned, forward the completed survey to the approving authority after the individual's reply suspense has expired.

17. It is the responsibility of the approving authority to provide the investigating officer with the administrative and technical support necessary to complete a survey investigation. Para 6, Annex B (Duties of the Approving Authority) of this SOP defines the minimum level of resources available to the surveying officer from the approving authority.

Appendixes

- 1 Potential Liability Memorandum
- 2 Certificate of Release

Appendix 1 (Potential Liability Memorandum) to Annex C  
(Duties of the Surveying Officer) to CAARNG Survey SOP

LETTERHEAD

S: 28 February 1997

CLAG-SS-R (735)

13 January 1997

MEMORANDUM FOR SSG Harmon Sample, 1234 Any St., Somewhere,  
CA 00000-0000

SUBJECT: Notification of Potential Liability, Report of  
Survey No. 79999X

1. Enclosed is a copy of Report of Survey No. 79999X, Voucher Number W99AFU 7037-8611, which was initiated by CPT Howdy Loseit, Commanding, Company Q, 1-111 MI.
2. Your attention is invited to items 26 & 27, DA Form 4697, which indicates my findings and recommendations as the investigating officer. These findings are in accordance with AR 753-3.
3. Based on the facts, it is my recommendation to the Appointing Authority that you be held pecuniarily liable in the amount of \$999.99 (Depreciated IAW Appendix B, AR 735-5). Under the provisions of AR 735-5, you must be afforded the opportunity to examine this survey with exhibits and accomplish one of the following actions;
  - a. Refer to block number 30, DA Form 4697 and indicate if you do or do not desire to make a statement concerning the incident. In any case, date and sign block 31 and return one copy to me, at HQ, 1-111 MI Bn, ATTN:\_\_\_\_\_, Clinton, CA 00000-0000.
  - b. If you accept liability, forward a Money Order or Cashiers Check in the amount stated in paragraph 3 above, made payable to "FINANCE AND ACCOUNTING OFFICER, U.S. ARMY, FORT BENJAMIN HARRISON, IN 46216-5590", to the unit address above. DO NOT SEND CASH OR A PERSONAL CHECK.
4. You have the right to legal counsel from the Office of the Staff Judge Advocate (Active/Reserve/National Guard). The local CAARNG SJA may be contacted at (xxx) xxx-xxxx.

Appendix 1 (Potential Liability Memorandum) to Annex C  
(Duties of the Surveying Officer) to CAARNG Survey SOP

CLAG-SS-R (735)

SUBJECT: Notification of Potential Liability, Report of  
Survey No. 79999X

5. If you do not respond by the suspense date indicated above, I will forward this Report of Survey to the approving authority for disposition in accordance with AR 735-5.

6. If you wish additional information concerning this matter contact, SSG Overworked at (xxx)  
xxx-xxxx.

FOR THE COMMANDER:

Encl  
RS 7999X  
Exhibits A-F

U. R. STUCK  
CPT, IN, CAARNG  
Investigating Officer

NOTE: A notice of potential liability may be initiated by the investigating officer or the approving authority as the situation warrants.

Appendix 2 (Certificate of Release) to Annex C (Duties of  
the Surveying Officer) to CAARNG SOP

CERTIFICATE OF RELEASE

DATE: 27 FEBRUARY 1997

I/R 95-0060\U/I 50044A

I certify that the following identified equipment is no  
longer needed for investigative purposes and is hereby  
released for repair or appropriate disposition.

<u>ITEM</u> <u>NOMENCLATURE</u>	<u>REGISTRATION</u> <u>SERIAL NUMBER</u>	<u>OWNING</u> <u>ORGANIZATION</u>
Truck, Trac 5 T M52A2	NLOU4X	A Co., 111th Spt
Stlr, Fuel, 5000 gal M131A5C	7H1263	A Co., 111th Spt

FINNIAS T. BLUSTER  
COL, IN, CAARNG  
Commanding

DISTRIBUTION:

2 Surveying Officer's File  
2 Supporting OMS  
2 Supporting Maintenance Shop  
1 State Maintenance Activity  
1 Owning Organization

## Annex D (Duties of CALG-SS-R) to CAARNG Survey SOP

1. CAARNG Director of Logistics, Supply & Services Branch, Reports of Survey Section (CALG-SS-R) is tasked with the overall management of the report of survey system (property adjustment) within the State. The office also coordinates with National Guard Bureau, Deputy Adjutant General-Army, Office of the Inspector General, Staff Judge Advocate, and subordinate elements as required.

2. The duties of CALG-SS-R encompass the following:

a. Assignment of survey numbers. NOTE: This task has been delegated to the 40th ID (M) CPBO for subordinate and attached units. Refer to appendix A of this SOP for command codes and explanation.

b. Insure survey completion within the 150 day suspense window, beginning on the date of loss, established by AR 735-5.

c. Review all surveys for completeness, accuracy, and continuity.

d. Cross reference surveys with unresolved incident reports (IR).

e. Complete and submit DD Form 114, Military Pay Order, with supporting documents, for findings of liability.

f. Process appeals.

g. Process congressional inquiries.

h. Prepare and submit the NGB Survey Report.

i. Trend analysis. Refer to appendixes 2 & 3 of this Annex for code list.

j. Produce written guidance to the field concerning all aspects of the survey process.

Appendix 1 (Survey Control Number, Code Allocation) to  
Annex D (Duties of CALG-SS-R) to CAARNG SOP

3. CALG forwards completed surveys to USPFO only when  
financial liability has been assigned and completion of DD  
Form 114 is required.

#### Appendixes

- 1 Survey Control Number, Code Allocation
- 2 Unit Codes
- 3 Reason for Loss\Type Loss Codes



Appendix 1 (Survey Control Number, Code Allocation)  
to Annex D (Duties of CALG-SS-R) to CAARNG SOP

1. Survey control numbers are five digit alpha numerics used to identify a survey. They are divided into three sections:

- a. Year of initiation
- b. Sequence number
- c. Senior command code

EXAMPLE: Survey Control Number 50001J is divided into three segments, "5", "0001", and "J" which define the year of initiation, 1995. "0001" is the sequence number of the report. "J" is the senior command code for the element which originated the survey.

2. Senior Command Codes are the element of the survey control number that identify the senior command, directorate or facility in which the survey originated.

3. Senior Command Codes

A - 40th ID (M)  
D - 1106 AVCRAD  
E - Surface Maintenance Office  
F - AASF Stockton  
G - Camp Roberts ISU  
I - 1-184 IN  
J - HQ STARC (-)  
K - Det 1 STARC (USPFO Spt)  
M - Det 3 STARC (Los Alamitos)  
N - 100th Troop Cmd  
O - 223 In Regt.  
P - Det 5 STARC (R&R)  
R - Counter Drug  
S - Sacramento AASF  
T - TFSWB

Appendix 2 (Unit Codes) to Annex D (Duties of CALG-SS-R) to  
CAARNG SOP

1. The Unit Code is a four digit alpha numeric used to identify a unit and its senior command. It is used to assign survey losses to the proper command for tracking and reporting purposes. This code contains two sections:

- a. Major Command in which the survey initiated
- b. Unit initiating the survey

EXAMPLE: Unit Code AB11 is divided into three sections:  
A, B, and 11. A = 40th ID (M); B = 1st Bde; 11 = HHC,  
3-160 IN.

2. Although this code is for internal use by CALG-SS-R its accuracy is extremely important to the field. Incorrect coding will attribute losses to the wrong major command.

3. Unit Codes:

AA01 - HHC, 40th ID (M)  
AA02 - 40th RCP  
AA03 - 140th Chem Co.  
AA04 - 160 LRSD  
AA05 - 40th Band  
AA06 - 40th MP Co.

AA11 - HHC, 240 SIG  
AA12 - A Co., 240 SIG  
AA13 - B Co., 240 SIG  
AA14 - C Co., 240 SIG

AA21 - 640 MI

AB01 - HHC, 1st Bde

AB11 - HHC, 3-160 IN  
AB12 - A Co., 3-160 IN  
AB13 - B Co., 3-160 IN  
AB14 - C Co., 3-160 IN  
AB15 - D Co., 3-160 IN  
AB16 - E Co., 3-160 IN

Appendix 2 (Unit Codes) to Annex D (Duties of CALG-SS-R) to  
CAARNG SOP (cont.)

AB21 - HHC, 1-185 AR  
AB22 - A Co., 1-185 AR  
AB23 - B Co., 1-185 AR  
AB24 - C Co., 1-185 AR  
AB25 - D Co., 1-185 AR

AC01 - HHC, 2d Bde

AC11 - HHC, 4-160 IN  
AC12 - A Co., 4-160 IN  
AC13 - B Co., 4-160 IN  
AC14 - C Co., 4-160 IN  
AC15 - D Co., 4-160 IN  
AC16 - E Co., 4-160 IN

AC21 - HHC, 2-185 AR  
AC22 - A Co., 2-185 AR  
AC23 - B Co., 2-185 AR  
AC24 - C Co., 2-185 AR  
AC25 - D Co., 2-185 AR

AC31 - HHC, 3-185 AR  
AC32 - A Co., 3-185 AR  
AC33 - B Co., 3-185 AR  
AC34 - C Co., 3-185 AR  
AC35 - D Co., 3-185 AR

AD01 - HHC, 3rd Bde

AD11 - HHC, 2-159 IN  
AD12 - A Co., 2-159 IN  
AD13 - B Co., 2-159 IN  
AD14 - C Co., 2-159 IN  
AD15 - D Co., 2-159 IN  
AD16 - E Co., 2-159 IN

AD21 - HHC, 2-160 IN  
AD22 - A Co., 2-160 IN  
AD23 - B Co., 2-160 IN  
AD24 - C Co., 2-160 IN  
AD25 - D Co., 2-160 IN  
AD26 - E Co., 2-160 IN

Appendix 2 (Unit Codes) to Annex D (Duties of CALG-SS-R) to  
CAARNG SOP (cont.)

AD31 - HHC, 1-149 AR  
AD32 - A Co., 1-149 AR  
AD33 - B Co., 1-149 AR  
AD34 - C Co., 1-149 AR  
AD35 - D Co., 1-149 AR  
AD36 - E Co., 1-149 AR

AD41 - HHC, 1-184 IN  
AD42 - A Co., 1-184 IN  
AD43 - B Co., 1-184 IN  
AD44 - C Co., 1-184 IN  
AD45 - D Co., 1-184 IN  
AD46 - E Co., 1-184 IN  
AD47 - HHB (-), 1-487th FA  
AD48 - A Co. (-), 29th FSB  
AD49 - B Co. (-), 29th FSB

AE01 - HHC, 40th AVN  
AE02 - F Co., 140 AVN

AE11 - HHT, 1-18 CAV  
AE12 - A Trp., 1-18 CAV  
AE13 - B Trp., 1-18 CAV  
AE14 - C Trp., 1-18 CAV  
AE15 - D Trp., 1-18 CAV  
AE16 - E Trp., 1-18 CAV

AE21 - HHC, 3-140 AVN  
AE22 - G Co., 140 AVN  
AE23 - D Co., 1-112 AVN  
AE24 - 126 Air Amb Co.  
AE25 - B Co., 2-104 AVN

AE31 - HHC, 1-140 AVN  
AE32 - A Co., 1-140 AVN  
AE33 - B Co., 1-140 AVN  
AE34 - C Co., 1-140 AVN  
AE35 - D Co., 1-140 AVN

AF01 - HHB, 40th Div Arty  
AF02 - D Btry., 144 FA  
AF03 - F Btry., 144 FA

Appendix 2 (Unit Codes) to Annex D (Duties of CALG-SS-R) to  
CAARNG SOP (cont.)

AF11 - HHB, 1-143 FA  
AF12 - A Btry., 1-143 FA  
AF13 - B Btry., 1-143 FA  
AF14 - C Btry., 1-143 FA  
AF15 - Svc Btry., 1-143 FA

AF21 - HHB, 3-144 FA  
AF22 - A Btry., 3-144 FA  
AF23 - B Btry., 3-144 FA  
AF24 - C Btry., 3-144 FA  
AF25 - Svc Btry., 3-144 FA

AG01 - HHC, 40th EN Bde

AG11 - HHC, 132 EN  
AG12 - A Co., 132 EN  
AG13 - B Co., 132 En  
AG14 - C Co., 132 En

AG21 - HHC, 578 EN  
AG22 - A Co., 578 EN  
AG23 - B Co., 578 EN  
AG24 - C Co., 578

AG31 - HHC, 579 EN  
AG32 - A Co., 579 EN  
AG33 - B Co., 579 EN  
AG34 - C Co., 579 EN

AH01 - HHC, 40th DISCOM  
AH02 - C Co., 297th Spt

AH11 - HHD, 40th FSB  
AH12 - A Co., 40th FSB  
AH13 - B Co., 40th FSB  
AH14 - C Co., 40th FSB

AH21 - HHD, 240th FSB  
AH22 - A Co., 240th FSB  
AH23 - B Co., 240th FSB  
AH24 - C Co., 240th FSB

Appendix 2 (Unit Codes) to Annex D (Duties of CALG-SS-R) to  
CAARNG SOP (cont.)

AH31 - HHD, 340th FSB  
AH32 - A Co., 340th FSB  
AH33 - B Co., 340th FSB  
AH34 - C Co., 340th FSB

AH41 - HHD, 540th MSB  
AH42 - A Co., 540th MSB  
AH43 - B Co., 540th MSB  
AH44 - C Co., 540th MSB  
AH45 - D Co., 540th MSB  
AH46 - F Co., 540th MSB  
AH47 - G Co., 540th MSB

JJ01 - HHD STARC (-)  
JJ02 - DET 1 STARC (USPFO)  
JJ03 - DET 3 STARC (LOS ALAMITOS)  
JJ04 - DET 5 STARC (R&R)

NN01 - 100 Troop Command

NN11 - 69th PCH  
NN12 - 59th Band  
NN13 - 159th Band  
NN14 - A Co., 5-19 SFG

NN21 - HHSC, 223 MI  
NN22 - A Co., 223 MI  
NN23 - B Co., 223 MI  
NN24 - C Co., 223 MI

NN31 - 49th PSB  
NN32 - 40th PSC  
NN33 - 49th PSC  
NN34 - 76th PSC  
NN35 - 79th PSC

NN41 - 40th FIN  
NN42 - 217th FIN  
NN43 - 223d FIN  
NN44 - 251st FIN

NC51 - 49th MP Co.  
NC52 - 270th MP Co.  
NC53 - 649th MP Co.  
NC54 - 670th MP Co.

Appendix 2 (Unit Codes) to Annex D (Duties of CALG-SS-R) to  
CAARNG SOP (cont.)

NK11 - 185th QM  
NK12 - 349th QM

NK21 - 749th MT  
NK22 - 118 MT

NK31 - 2668 Trans Co.  
NK32 - 133d Trans Det.

OO01 - 223 IN REGT

RR01 - TF COUNTER DRUG

SS01 - SACRAMENTO AASF

TT01 - TF SOUTHWEST BORDER

XC01 - 49 MP BDE  
XK01 - 115 ASG  
XL11 - HHC 980 MEDSOM  
XL12 - A Co. 980 MEDSOM  
XL13 - B Co. 980 MEDSOM

Appendix 3 (Reason for Loss/Type Loss Codes) to Annex D  
(Duties of CALG-SS-R) to CAARNG SOP

1. The Reason for Loss Code is a three character code used by CALG-SS-R to classify property losses by category for reporting and analysis purposes. This code is used for analysis only and is not used to develop or process reports of survey. This code appears in the analysis charts produced by CALG-SS-R for command use.

2. Reason for Loss, Damage, or Destruction Codes:

APE - Accounting Procedural Error  
ATL - Annual Training Loss  
AWL - Absent Without Leave  
CHC - Change of Command  
DAC - Damage from Accident  
DWI - Discharged With Issue (ETS/ING)  
FRE - Fire  
INS - Installation Shortage  
LFE - Lost via Field Exercise  
LTM - Lost, Theft, Mystery  
OTH - Other  
PIN - Periodic Inventory  
SAD - State Active Duty Loss  
TEX - Training Exercise  
TIS - Turn In Shortage

3. The Type Loss Code is used to further define Type Property Code 9, "other, losses. This three character code further divides these items to permit trend analysis by CALG for reporting and analysis purposes. It is not used to develop or process reports of survey. This code appears in the analysis charts produced by CALG-SS-R for command use.

4. Type Loss Codes:

CMP - Cash Meal Payment Sheet  
DPE - Data Processing Equipment (computers & accessories )  
GSA - GSA Equipment  
NGM - Negotiable Media (toll script, credit cards)  
ODM - Overdrawn Meals  
OTH - Other



Appendix 3 (Reason for Loss/Type Codes) to Annex D (Duties of CALG-SS-R) to CAARNG SOP (cont.)

5. The Recipient of Latest Action Code is a three character alpha code that is used by CALG-SS-R to identify the status and location of a report of survey during processing. This is an internal code that may appear on reports provided by CALG-SS-R for command use.

6. Recipient of Latest Action Codes:

SCO - State Survey Control Officer (OTAG)  
MSC - MSC Survey Control Officer  
SJA - Staff Judge Advocate (OTAG)  
MJA - Major Command Staff Judge Advocate  
SAA - Senior Army Advisor  
I/O - Survey Officer  
A/A - Approving Authority  
APL - Appeal to DAG-A  
GCA - Government & Civil Affairs  
SIG - State Inspector General

## ANNEX E (Definition of Terms) to CAARNG Survey SOP

The terms listed below are extracted from paragraph 13-30, AR 735-5.

### a. Responsibility

(1) General. The type of property responsibility which an individual has determines the obligations incurred by the individual towards that property. Refer to Appendix C, AR 735-5 for specific examples.

(2) Command responsibility. The obligation of a commander to ensure that all Government property within the command is properly used and cared for and that proper custody and safekeeping of Government property are provided. **Command responsibility is inherent and cannot be delegated.** It includes:

(a) Ensuring the security of all property whether in use or in storage.

(b) Observing subordinates to ensure property custody, care, use, and safekeeping of all property.

(c) Enforcing all security, safety, and accounting requirements.

(d) Taking administrative or disciplinary action when necessary.

(3) Supervisory responsibility. The obligation of a supervisor to ensure that all Government property, issued to, or used by his or her subordinates is properly used, cared for, and that proper custody and safekeeping of property are provided. **It is inherent in all supervisory positions and is not contingent upon signed receipts or responsibility statements.**

(4) Direct Responsibility. The obligation of a person to ensure that all Government property for which he/she has receipted is properly used, cared for, and secured. **Direct responsibility results from assignment as an accountable officer, receipt of formal written delegation, or acceptance of the property on hand receipt.**

Annex E (Definition of Terms) to CAARNG Survey SOP (cont.)

(5) Personal Responsibility. The obligation of a person to exercise reasonable and prudent actions to properly use, care for, and safeguard all Government property in his or her physical possession. It applies to all Government property issued, acquired, or converted to a person's exclusive use, with or without a receipt.

b. Culpability. Before a person can be held financially liable, the facts must show that he or she, through negligence or willful misconduct, violated a particular duty involving the care of property.

(1) Simple negligence is the absence of due care, by an act or omission of a person which lacks that degree of care for the property that a reasonably prudent person would have taken under similar circumstances, to avoid loss, damage, or destruction to the property.

(2) Gross negligence is an extreme departure from due care resulting from an act or omission of a person accountable for Government property which falls far short of that degree of care that a reasonably prudent person would have taken under similar circumstances. It is accompanied by a reckless, deliberate, or wanton disregard for the foreseeable loss or damage to the property.

c. Proximate cause. The individual's acts or omissions were the cause of that, in a natural act continuous sequence, unbroken by a new cause, produced the loss, damage, or destruction, and without which the loss, damage or destruction would not have occurred.

d. Loss means loss of, damage to, or destruction of property of the U.S. Government. Loss includes a loss from accountability. Property is considered lost when it cannot be found or accounted for by the last responsible person in the audit trail.

e. Approving Authority - A Major Subordinate Level Command, O6 or above, to which the authority to process, investigate, and dispose of survey actions has been delegated. This authority is responsible for the timely, accurate and complete resolution of all reports of survey generated by its subordinate units. These headquarters, identified in Annex B, p. B-1 of this SOP, are also responsible for the complete administrative support of the surveying officer.

Annex E (Definition of Terms) to CAARNG Survey SOP (cont.)

f. Surveying Officer - An individual, senior in rank to the individual (PHRH) identified in block 5 of DA Form 4697, who has been appointed, in writing, by the Appointing Authority to investigate and present findings and recommendations concerning a report of survey. Survey officer duty is the primary task of the survey officer, to the exclusion of unit missions.

g. Accountable Officer - An officer appointed in writing by the commander for whom the property records are being maintained. The commander or TDA activity head may designate in writing, a representative to function as property book officer.

Annex F (Reporting Recovery of Property) to CAARNG Survey SOP

1. PHRHs routinely notify their supporting PBOs of property recovered against a report of survey. Using this information the PBO posts the survey and adjusts the property books.

2. CALG-SS-R reports survey losses quarterly to National Guard Bureau. **It is imperative that all property recoveries made be reported to CALG-SS-R immediately by the accountable officer.** Timely reporting will reduce the property dollar losses reported to NGB.

3. Survey losses are an NGB Report Card item. For this reason, property recoveries are extremely important. CALG-SS-R subtracts recoveries from the quarterly dollar loss figures reported to NGB. The Survey Report is filed with NGB on the tenth day, of January, April, July, and October for the preceding quarter.

4. Recoveries against surveys posted to a prior quarterly report are used to adjust the annual dollar loss figure reported to NGB.

5. To report a property recovery against any report of survey, the PBO must provide the following information to CALG-SS-R:

Survey Number	Dollar Amount of Recovery	New Loss Grand Total
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6. A PBO may report a recovery, using the format in para 5 above, to CALG-SS-R verbally or by fax. When available reporting will be made by E-mail. No additional paper work or copies of DA 3161 are required to meet this requirement. Note: Adjustments affecting liability will require further action.

7. CALG-SS-R:	CAGNET	DSN	COMMERCIAL
State Survey Control Officer	63732	466-3732	(916) 854-3732
State Survey Control Tech	63561	466-3561	(916) 854-3561
FAX	63735	466-3735	(916) 854-3735

Annex G (Duties and Responsibilities of USPFO) CAARNG Survey  
SOP

1. In the Report of Survey Cycle, USPFO is tasked with the overall management of property requisition, accountability, disposal, and collection of monies due to the US Government as a result of liability findings.

a. USPFO-PM - Property Management Branch maintains accurate records of all property assigned to each accountable officer and each subordinate unit. It adjusts records to reflect property losses and recoveries.

b. USPFO-SC - Stock Control Branch processes requisitions submitted to replace losses identified on a report of survey.

c. USPFO-MP - Military Pay Branch processes Military Pay Orders, DD Form 114, submitted by CALG-SS-R in support of liability findings. Pay Branch starts collections as a result of liability findings and stops them, refunding collections, when an appeal overrules the liability finding.

2. Property Management and Stock Control deal directly with accountable officers and their subordinate units, following normal logistical routine, during the survey process.

3. Military Pay Branch deals directly with CALG-SS-R concerning pay action, collections and refunds. Approving authorities, accountable officers and units are not permitted to contact Pay Branch concerning report of survey actions. Address all questions in these areas to CALG-SS-R.